

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See instructions on reverse)

LEAVE BLANK (NARA use only)

JOB NUMBER *NI-058-97-10*

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

DATE RECEIVED *4-14-97*

1. FROM (Agency or establishment)
Department of the Treasury

NOTIFICATION TO AGENCY

2. MAJOR SUBDIVISION
Internal Revenue Service

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

3. MINOR SUBDIVISION
Appeals Division

4. NAME OF PERSON WITH WHOM TO CONFER
Sandra J. Myers

5. TELEPHONE
535-3936

DATE

3-5-98

ARCHIVIST OF THE UNITED STATES

John W. Paul

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached ____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,
 is not required; is attached; or has been requested.

DATE
12/18/97

SIGNATURE OF AGENCY REPRESENTATIVE
Lothe Delarminie

TITLE **IRS Records Officer**

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>The records described in this schedule are created and/or accumulated by the Appeals Division in the National Office and field offices.</p> <p>The Appeals Division develops and coordinates policies and procedures relating to hearings of taxpayers' appeals as a result of determinations made in district offices. Appeals also conducts conferences directed at the settlement of taxpayers' appeals.</p> <p>NOTE: This is a revision of original request submitted on February 27, 1997.</p> <p><i>MAY 13 1998 mwr copy to: Agency</i></p>		

Records Control Schedule 103 for Servicewide Appeals

Item No.	Description of Records	Authorized Disposition
1.	Mailing Records. Copies of registration and certification records for statutory notices mailed to taxpayer and/or representatives.	Destroy 5 years after issuance date or.
2.	Appeals Office Files (Job No. NC1-58-85-6, Item 1) Office files typically contain copies of Form 5402, Appeals Transmittal Memorandum and Supporting Statement, Audit Statement, District Director's transmittal to Appeals with protest, 90-day letter, assessment documents, stipulation, various agreement forms (or equivalents) and related correspondence.	
	A. Office File for closed cases.	Destroy 2 years after the end of the fiscal year in which case is closed or when determined to be no longer needed in current operations, but not less than 9 months after the end of the fiscal year in which case is closed.
	B. Office File for a tax shelter key case.	Destroy 3 years after end of the fiscal year in which the case is closed or when determined to be no longer needed in current operations, whichever is longer.
	C. Office File for Coordinated Exam Program Cases.	Destroy 10 years after the end of the fiscal year in which the case was closed.

Records Control Schedule 103 for Servicewide Appeals

Item No.	Description of Records	Authorized Disposition
3.	<p>Unified System for Time and Appeals Records (uniSTAR). A computerized case control system used to control and track cases processed in Appeals and the time spent on working the case. The database includes taxpayer's name, address, identification number, status code, received and closing dates, tax period, proposed and revised tax deficiency amounts and penalty amounts and work unit grade.</p>	<p>Download data to inactive file 2 years after case is closed.</p>
	A. Inactive File Tapes	Delete when 5 years old.
	B. Input Records include information extracted from case file and from Form 3210 Transmittal Document.	Destroy when no longer needed for administrative, audit, legal or other operational purposes.
	C. Output Records include a variety of management information reports.	
	1. Quarterly Statistical Analysis Report is compiled quarterly and fiscal-year-to-date. Statistical data is collected and printed as Table 11 and Selected Statistics.	Cutoff at the end of the fiscal year. Destroy 20 years after end of the fiscal year in which the report was prepared.

Records Control Schedule 103 for Servicewide Appeals

Item No.	Description of Records	Authorized Disposition
	2. uniSTAR Follow-up Lists. Various follow-up lists generated from the system. These lists are run on a weekly, monthly, quarterly, semi-annually basis as prescribed by IRM 8114.	Cutoff at the end of the fiscal year. Destroy one year after the end of the fiscal year in which the report was generated or when no longer needed, whichever is sooner.
	3. All other management information reports or ad hoc queries generated from uniSTAR.	Cutoff at the end of the fiscal year. Destroy/Delete five years after the end of the fiscal year in which the report was generated or when no longer needed, whichever is sooner.
4.	Combined Enhanced Nationwide Tracking and Uniform Report System (CENTAUR). This system combines portions of several data systems previously used by Chief Counsel and Appeals. Data is combined with several data systems and is used to track case progress and produce a variety of reports. The database includes information on large case activity in appeals, i.e., the taxpayer's name, address, identification number, status codes, issue code, received and closing dates, tax period, proposed and revised tax deficiency amounts and penalty amounts.	Download data to inactive file 2 years after the case is closed.

Records Control Schedule 103 for Servicewide Appeals

Item No.	Description of Records	Authorized Disposition
A. Inactive File Tapes		Delete when 5 years old.
	B. Input Records include information extracted from the case file and Form 3210 Transmittal Document.	Destroy when no longer needed for administrative, audit, legal, or other operational purposes.
	C. Output Records include management information report, ad hoc queries, and equivalent documentation used to track progress on Appeals cases.	Destroy/Delete five years after the end of the fiscal year in which the report was generated or when no longer needed, whichever is sooner.
5.	Audit Information Management System (AIMS) Records. An AIMS database (consisting of taxpayer identification number, tax period, source code, activity code, etc.) is maintained in each service center and contains only files for districts located within the jurisdiction of each service center. This database contains accounts that originate from master file and a limited number from non-master file. Data on AIMS in the service center is extracted for the Detroit Computing Center (DCC) on a four-five-week cycle for the production of appeals statistical tables. The records produced from AIMS are as follows:	

Item No.	Description of Records	Authorized Disposition
	<p>A. AIMS Monthly Extract Download. Data is made available for electronic download from DCC to local Appeals' offices for production of statistical reports.</p>	<p>Delete/Destroy when no longer needed for administrative, audit, legal or other operational purposes.</p>
	<p>B. AIMS Status 81 Listings. Listing of all Appeals' inventories currently controlled on the AIMS system in Status 81. These listings are produced locally from AIMS download made available monthly by the Detroit Computing Center.</p>	<p>Cutoff at the end of the fiscal year. Destroy one year after the end of the fiscal year in which the cutoff occurred.</p>
	<p>C. AIMS Status 90 Listings. Listings of all Appeals' inventories closed on AIMS each month in Status 90. These listings are produced locally from AIMS download made available monthly by the Detroit Computing Center.</p>	<p>Cutoff at the end of the fiscal year. Destroy after 6 months or when no longer needed for reference purposes, whichever is earlier.</p>
	<p>D. AIMS Inventory Validation Records. Various mismatch reports produced by the uniMatch program which compares the AIMS and uniSTAR systems. These reports are used to validate Appeals' inventory on hand with what is reflected in each of these systems.</p>	<p>Cutoff at the end of the fiscal year. Destroy 3 years after the end of the fiscal year in which cutoff occurred.</p>